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PTO/SB/05 (11-00)  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 740819-610  
First Inventor Michikazu MATSUMOTO et al.  
Title ELECTRODE STRUCTURE AND METHOD FOR FABRICATING THE SAME  
Express Mail Label No.

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 40]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10]
5. Oath or Declaration [Total Sheets 3]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☒ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies; or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☒ Certified Copy of Japanese Priority Document No. 2000-329972 Filed: October 30, 2000  
Priority Claimed Yes [X] No [ ]  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(I). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior Application Serial No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.


## 19. CORRESPONDENCE ADDRESS

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or ☐ Correspondence address below

|                   |   |           |                                   |                |                |
|-------------------|---|-----------|-----------------------------------|----------------|----------------|
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| Country           | United States   | Telephone | (703) 790-9110                    | Fax            | (703) 883-0370 |
| Name (Print/Type) | Eric J. Robinson  |           | Registration No. (Attorney/Agent) |                | 38,285         |
| Signature         |  |           | Date                              | August 7, 2001 |                |

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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*Patent fees are subject to annual revision.*

|                                |                 |
|--------------------------------|-----------------|
| <b>TOTAL AMOUNT OF PAYMENT</b> | <b>\$830.00</b> |
|--------------------------------|-----------------|

***Complete if Known***

|                      |                            |
|----------------------|----------------------------|
| Application Number   |                            |
| Filing Date          | August 7, 2001             |
| First Named Inventor | Michikazu MATSUMOTO et al. |
| Examiner Name        |                            |
| Group Art Unit       |                            |
| Attorney Docket No.  | 740819-610                 |

**FEE CALCULATION (continued)**

- ☐ Applicant claims small entity status.  
See 37 CFR 1.27

- ### FEE CALCULATION

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 101          | 710      | 201          | 355      | Utility filing fee     | \$710    |
| 106          | 320      | 206          | 160      | Design filing fee      |          |
| 107          | 490      | 207          | 245      | Plant filing fee       |          |
| 108          | 710      | 208          | 355      | Reissue filing fee     |          |
| 114          | 150      | 214          | 75       | Provisional filing fee |          |

|                     |                 |
|---------------------|-----------------|
| <b>SUBTOTAL (1)</b> | <b>\$710.00</b> |
|---------------------|-----------------|

|                    |    |         | Extra Claims |   | Fee from below | Fee Paid  |
|--------------------|----|---------|--------------|---|----------------|-----------|
| Total Claims       | 10 | -20** = | 0            | X | \$18           | =         |
| Independent Claims | 4  | -3** =  | 1            | X | \$80           | = \$80.00 |
| Multiple Dependent |    |         |              |   | \$270          | =         |

| Large Entity<br>Fee<br>Code | Entity<br>Fee | Small Entity<br>Fee<br>Code | Fee Description |  |
|-----------------------------|---------------|-----------------------------|-----------------|--|
| 103                         | 18            | 203                         | 9               | Claims in excess of 20                                     |
| 102                         | 80            | 202                         | 40              | Independent claims in excess of 3                          |
| 104                         | 270           | 204                         | 135             | Multiple dependent claim, if not paid                      |
| 109                         | 80            | 209                         | 40              | ** Reissue independent claims over original patent         |
| 110                         | 18            | 210                         | 9               | ** Reissue claims in excess of 20 and over original patent |

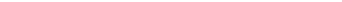
|                     |                |
|---------------------|----------------|
| <b>SUBTOTAL (2)</b> | <b>\$80.00</b> |
|---------------------|----------------|

\*\*or number previously paid, if greater; For Reissues, see above

| Large Entity        |          | Small Entity |          | Fee Description  | Fee Paid |
|---------------------|----------|--------------|----------|--|----------|
| Fee Code            | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 105                 | 130      | 205          | 65       | Surcharge – late filing fee or oath  |          |
| 127                 | 50       | 227          | 25       | Surcharge – late provisional filing fee or cover sheet                     |          |
| 139                 | 130      | 139          | 130      | Non-English transaction  |          |
| 147                 | 2,520    | 147          | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112                 | 920*     | 112          | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 113                 | 1,840*   | 113          | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 115                 | 110      | 215          | 55       | Extension for reply within first month                                     |          |
| 116                 | 390      | 216          | 195      | Extension for reply within second month                                    |          |
| 117                 | 890      | 217          | 445      | Extension for reply within third month                                     |          |
| 118                 | 1,390    | 218          | 695      | Extension for reply within fourth month                                    |          |
| 128                 | 1,890    | 228          | 945      | Extension for reply within fifth month                                     |          |
| 119                 | 310      | 219          | 155      | Notice of Appeal   |          |
| 120                 | 310      | 220          | 155      | Filing a brief in support of an appeal                                     |          |
| 121                 | 270      | 221          | 135      | Request for oral hearing   |          |
| 138                 | 1,510    | 138          | 1,510    | Petition to institute a public use proceeding                              |          |
| 140                 | 110      | 240          | 55       | Petition to revive – unavoidable   |          |
| 141                 | 1,240    | 241          | 620      | Petition to revive – unintentional   |          |
| 142                 | 1,240    | 242          | 620      | Utility issue fee (or reissue)   |          |
| 143                 | 440      | 243          | 220      | Design issue fee   |          |
| 144                 | 600      | 244          | 300      | Plant issue fee  |          |
| 122                 | 130      | 122          | 130      | Petitions to the Commissioner  |          |
| 123                 | 50       | 123          | 50       | Petitions related to provisional applications                              |          |
| 126                 | 240      | 126          | 240      | Submission of information Disclosure Stmt                                  |          |
| 581                 | 40       | 581          | 40       | Recording each patent assignment per property (times number of properties) |          |
| 146                 | 710      | 246          | 355      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                 | 710      | 249          | 355      | For each additional invention to be examined (37 CFR § 1.29(b))            |          |
| 179                 | 710      | 249          | 355      | Request for Continued Examination (RCE)                                    |          |
| 169                 | 900      | 169          | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify) |          |              |          |  |          |

|                                    |                     |                |
|------------------------------------|---------------------|----------------|
| * Reduced by Basic Filing Fee Paid | <b>SUBTOTAL (3)</b> | <b>\$40.00</b> |
|------------------------------------|---------------------|----------------|

## Complete (if applicable)

|                   |   |                                      |        |           |                |
|-------------------|---|--------------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Eric J. Robinson  | Registration No.<br>(Attorney/Agent) | 38,285 | Telephone | (703) 790-9110 |
| Signature         |  |                                      |        | Date      | August 7, 2001 |